

Form PTO-1390

P21587.P10

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

P21587

#20

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/926,355

INTERNATIONAL APPLICATION NO.

PCT/JP00/02573

INTERNATIONAL FILING DATE

20 April 2000

PRIORITY DATE CLAIMED

20 April 1999

TITLE OF INVENTION

TRICYCLIC COMPOUND

APPLICANT(S) FOR DO/EO/US

Naoyuki NISHIKAWA, Masaharu SUGAI, Kozo AOKI, Makoto SUZUKI, Akihiko Ikegawa, Kazunobu TAKAHASHI, Fukuichi OHSAWA, Naomi MASUDA, Nobukazu KAKUI, Jiro TANAKA, Yuji TABATA, and Kenji ASAI

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information.

1. ☐ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).
4. ☐ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
"Executed"
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (U.S.C. 371(c)(5)).

Items 11 to 16 below concern other document(s) or information included:

11. Assignee: MEIJI SEIKA KAISHA, LTD. of Tokyo, JAPAN
12. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
13. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
14. ☐ A FIRST preliminary amendment.
☒ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ Figure of Drawing to be published
18. ☒ Other items or information:
Cover Letter.
Copy of Form Notification of Missing Requirements.
Request for Extension of Time.

02/21/2002 UEDUVIJE 00000052 09926355

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U.S. APPLICATION NO. (If known, see 37 CFR 1.53) 09/926,355		INTERNATIONAL APPLICATION NO. PCT/JP00/02573		ATTORNEY'S DOCKET NUMBER P21587	
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19. <input checked="" type="checkbox"/> The following fees are submitted: <div style="margin-left: 40px;"> Basic National Fee (37 CFR 1.492(a)(1)-(5)): Search report has been prepared by the EPO or JPO. \$ 890.00 International preliminary examination fee paid to USPTO (37 CFR 1.482). \$ 710.00 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO(37 CFR 1.445(a)(2)). \$ 740.00 Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO. \$1,040.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4). \$ 100.00 ENTER APPROPRIATE BASIC FEE AMOUNT = </div>				CALCULATIONS		PTO USE ONLY	

Surcharge of \$130.00 for furnishing the oath or declaration later than <u>20</u> <input checked="" type="checkbox"/> <u>30</u> months from the earliest claimed priority date (37 CFR 1.492(e)).				\$130.00			
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Claims	Number Filed	Number Extra	RATE		
Total Claims	29 - 29 =	0	X \$18.00	\$ 0.00	
Independent Claims	2 - 3 =	0	X \$84.00	\$ 0.00	
Multiple dependent claim(s) (if applicable)			+ \$280.00	\$ 0.00	
TOTAL OF ABOVE CALCULATIONS =				\$ 0.00	
<u> </u> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ 0.00	
SUBTOTAL =				\$130.00	
Processing fee of \$130.00 for furnishing the English translation later than <u>20</u> <u>30</u> months from the earliest claimed priority date (37 CFR 1.492(f)).				+	\$ 0.00
Extension of Time fee in the amount of \$110.00					\$110.00
TOTAL NATIONAL FEE =				\$240.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$ 0.00
TOTAL FEES ENCLOSED =				\$240.00	
				Amount to be refunded	\$
				Charged	\$

a. ☒ A check in the amount of \$240.00 to cover the above fees is enclosed.
 b. Please charge my Deposit Account No. in the amount of \$ to cover the above fees.
 c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-0089.

 NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

 SEND ALL CORRESPONDENCE TO CUSTOMER NO. 7055
 AT THE PRESENT ADDRESS OF:
 Bruce H. Bernstein
 GREENBLUM & BERNSTEIN, P.L.C.
 1941 Roland Clarke Place
 Reston, VA 20191
 (703) 716-1191

SIGNATURE
 Bruce H. Bernstein
 NAME
 29.027 Reg. No. 31,286
 REGISTRATION NUMBER



UNITED STATES PATENT AND TRADEMARK OFFICE

Rec'd PCT/PTO 19 FEB 2002

 Commissioner for Patents, Box 901
 United States Patent and Trademark Office
 Washington, D.C. 20231
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/926,355	Naoyuki Nishikawa	P21587

INTERNATIONAL APPLICATION NO.

PCT/JP00/02573

IA FILING DATE

04/20/2000

PRIORITY DATE

04/20/1999

 007055
 GREENBLUM & BERNSTEIN, P.L.C.
 1941 ROLAND CLARKE PLACE
 RESTON, VA 20191

CONFIRMATION NO. 7902

371 FORMALITIES LETTER



OC000000007126847

Date Mailed: 11/28/2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Preliminary Amendments
- Request for Immediate Examination

RECEIVED

DEC 03 2001

GREENBLUM & BERNSTEIN, P.L.C.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
 - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months months from the priority date (37 CFR 1.492(e)) is required.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$130 for a Large Entity:

- \$130 Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

BARBARA A CAMPBELL

Telephone: (703) 305-3631

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/926,355	PCT/JP00/02573	P21587

Rec'd PCT/PTO 19 FEB 2002

P21587.P08

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Naoyuki NISHIKAWA et al.

Serial No : 09/926,355
(National Stage of PCT/JP00/02573)

I.A. Filed : April 20, 2000

For : TRICYCLIC COMPOUNDS

COVER LETTER

Commissioner of Patents and Trademarks
Washington, D.C. 20231

RECEIVED
15 MAR 2002
Legal Staff
International Division

Sir:

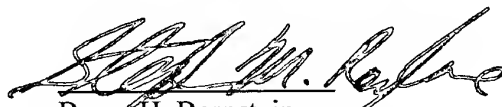
In order to comply with the requirements (copy enclosed) for the submission of an executed declaration and of the International Application set forth in the Notification mailed November 28, 2001 which sets a two month period of response until January 28, 2002 and being extended by one month to February 28, 2002, Applicants hereby submit:

- Transmittal Letter to the United States Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371;
- an executed Declaration and Power of Attorney;
- a Request for Extension of Time;
- a Third Preliminary Amendment;
- a Supplemental Information Disclosure statement, form PTO-1449, and references cited;
- a check in the amount of \$240.00 of which \$130.00 is payment of the surcharge for late filing of the Declaration, and \$110.00 is payment for the extension of time.

The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 19-0089.

Should the Examiner have any questions, he is invited to contact the undersigned at the below listed number.

Respectfully submitted,
Naoyuki NISHIKAWA et al.


Bruce H. Bernstein
Reg. No. 29,027 *Reg No. 31,296*

February 19, 2002
GREENBLUM & BERNSTEIN, P.L.C.
1941 Roland Clarke
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